



03-19-01

09/787473

JC13 Rec'd PCT/PTO 16 MAR 2001

PCT

**TRANSMITTAL LETTER FOR A PCT INTERNATIONAL APPLICATION
ENTERING THE NATIONAL STAGE IN THE U.S. AS A DESIGNATED or
ELECTED OFFICE UNDER 35 USC 371**

Attorney's Docket No.: 11321-P013WOUS

Date: March 16, 2001

Express Mail" mailing label number (from mail label): EL629591230US

Date of Deposit: March 16, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, as required under 37 CFR 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Box PCT Application, Washington, D.C. 20231.

Typed Name: Toni Stanley

Signature:

Assistant Commissioner for Patents
Box PCT Application
Attention: EO
Washington, D.C. 20231

Transmitted herewith are the papers required to enter the national state in the U.S. as a designated office/elected office for the following PCT international patent application:

INTERNATIONAL APPLICATION NUMBER: PCT/US99/21366

Int'l Filing Date: September 18, 1999**1st Priority Date: September 18, 1998**

Inventor(s): John L. MARGRAVE, Edward T. MICKELSON, Robert HAGUE, Peter BOUL, Charles B. HUFFMAN, Jie LIU, Richard E. SMALLEY, Ken SMITH, and Daniel T. COLBERT

For: Chemical Derivatization of Single Wall Carbon Nanotubes to Facilitate Solvation Thereof, and Use of Derivatized Nanotubes

The United States Patent Office is: (select one)

- ☐ A Designated Office (No Demand was filed - See 37 CFR 1.494)
☒ An Elected Office (A Demand for Preliminary Examination was Filed - See 37 CFR 1.495)

Enclosed are:

- ☒ A copy of the international application (if this line is not checked, the international application was previously communicated by the International Bureau or the international application was originally filed in the USPTO).
☐ An English Translation of the International Application
☒ A Combined Declaration and Power of Attorney
☐ A copy of amendments made under PCT Article 19
☐ A translation of amendments made under PCT Article 19
☐ A translation of annexes to the international preliminary examination report
☐ Verified Statement establishing Small Entity Status under 37 CFR 1.9 and 1.27.
☐ An Assignment of the Invention to: ***,
(with \$40.00 recordal fee)
☒ Information Disclosure Statement and PTO Form 1449

09/787473

532 Re PCT/PTO 16 MAR 2001

- ☒ A Preliminary Amendment
☒ A copy of the International Search Report
☐ A copy of the Preliminary Examination Report
☒ Applicant claims small entity status (37 C.F.R. 1.27)
☒ A check to cover the filing fees (including the basic national fee under 37 CFR 1.492(a)) in the amount calculated below:

FEE CALCULATION

<input checked="" type="checkbox"/>	BASIC FEE					\$ 355.00
	Surcharge for filing a late oath or declaration (\$130/65)					\$
	Surcharge for filing a late translation (\$130)					\$
	Multiple dependent claims (\$260/130)					\$
<input checked="" type="checkbox"/>	Excess claims - see calculation below					\$
	Total Claims:	- 33 -	20 =	13	X \$9 claim =	\$ 117.00
	Independent Claims:	- 8 -	3 =	5	X \$40 ind. claim =	\$ 200.00
					Excess Claim Total	\$ 672.00
	Assignment recordal fee (\$40)					\$
					TOTAL FEES	\$ 672.00

- ☒ The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 50-0388. A duplicate copy of this transmittal is enclosed.

Respectfully submitted.



Ross Spencer Garsson
 Registration No. 38,150

WINSTEAD SECHREST & MINICK, P.C.
 Suite 800
 100 Congress Avenue
 Austin, Texas 78701
 (512) 370-2870 (voice)
 (512) 370-2850 (fax)

HOUSTON_1\484154\1
 03/16/2001 - 11321-P018US